

Supervisor's Manual  
Wisconsin Department of Administration

Subject:       RECORDS MANAGEMENT PROGRAM

I.       Background

The Department of Administration's (DOA) Records Management Program (s. 15.04(i), Wis. Stats.) is developed to:

- Ensure that information contained in the Department of Administration's records can be readily retrieved when needed;
- Ensure that records of the department are managed and stored in a cost-effective manner;
- Ensure all record series are covered by retention schedules within one (1) year after creation, by requesting an RDA number on all forms created, contacting project managers when new projects are created, and surveying units to take inventories of records for RDA creation;
- Schedule records so inactive records are placed in low-cost, record center storage and records no longer needed are disposed of via an approved RDA;
- Protect and preserve records of continuing historical value;
- Ensure confidentiality of client and other records, as required by law and departmental policy;

II.       Scope

The scope of records management policies and procedures will include the department and attached agencies.

III.       Requirements

- A.       Appoint a department records officer, per statutes, in DOA. That position is located in the Division of Administrative Services, Bureau of Management Services.
- B.       Avoid the inappropriate purchase or use of filing equipment—through the records officer's review of equipment requests;

- C. Manage division's records (information)—particularly information requirements imposed on the public and local agencies—just as divisions manage other resources, such as budgets and staff.
- D. Designate individuals as records coordinators and *list their responsibilities in their position descriptions in each division* (see item #V.B. on page 4).
- E. Guide, assist, and oversee division implementation of efficient records management through the establishment of policies, general procedures, and standards; provision of technical assistance; and review of division performance by the department records officer.

#### IV. Definitions

- A. Records officer: That person appointed by the Secretary of the Department of Administration, in accordance with s. 15.04(1)(j), Wis. Stats., to administer the Records Management Program: approving all retention schedules by analyzing, reviewing, consolidating, simplifying, and filing all division record series and acting as liaison between the department and the Governor's Public Records Board.
- B. Records coordinator: That person designated in a division, bureau, region, section, or attached agency to serve as liaison to the department records officer and to coordinate records management activities within that organizational unit.
- C. Record series: Records that are arranged under a manual or automated filing system, or are kept together as a unit, because they relate to a particular subject, result from the same activity, or have a particular form, as defined in s. 16.61(2)(c), Wis. Stats.
- D. Public records: All books, papers, maps, photographs, films, recordings, or any other documentary materials or working copies, regardless of physical form or characteristics, made or received by any agency of the state or its officers or employees in connection with the transaction of public business, except the records and correspondence of any member of the state legislature, as defined in s.16.61(2)(b), Wis. Stats.
- E. Nonrecords: Including, but not limited to: copies of manuals, brochures, correspondence, and documents; library and museum material for reference; quasi-official notices, such as announcements and invitations; preliminary drafts/worksheets which are not a significant record; route slips; personal property; and blank forms or office supplies.

V. Responsibilities

A. Department Records Officer

1. Develop and administer the Department of Administration's Records Management Program in accordance with state statutes.
2. Develop and promulgate policies and procedures standards and other criteria for the effective and efficient administration of the Records Management Program throughout the Department of Administration.
3. May delegate to records coordinators the authority to assure effective and efficient records management.
4. Have principle records management authority of the department. Provide consultation and technical assistance to records coordinators on records management and records management systems and equipment.
5. Initiate studies and evaluate division records management programs to ensure compliance with statutory and department policies and procedures, to identify problem areas.
6. Ensure that the department has policies and procedures in place to prevent the inappropriate purchase of or use of filing systems/equipment by involving the records officer in the purchasing process.
7. Identify training needs in records management and develop and/or sponsor department-wide training in cooperation with the Bureau of Personnel's Human Resource Section and the State Records Center.
8. Review and evaluate legislation affecting records management to identify the impact upon the Department of Administration, its divisions, and attached agencies.
9. May develop and issue directives, as necessary, to assure the effective and efficient use of the department's Records Management Program.
10. Investigate complaints regarding department records; develop and issue required responses and take corrective action.
11. Receive, acknowledge and evaluate records-related requests, suggestions, and complaints from colleagues.
12. Serve as department liaison to the state Public Records Board and primary department representative on the state Records and Forms Council.

13. Approve each division's microfilm request prior to submittal to the Public Records Board and the microfilm lab.
  14. Approve and sign all retention schedules for the department and attached agencies.
  15. Develop and implement a review process to ensure all records schedules are current.
- B. Records Coordinators (responsibilities will be noted in their position descriptions)
1. Serve as unit liaison to the department records officer and a unit representative to the Records and Forms Council.
  2. Attend records management training provided or recommended by the department records officer.
  3. Serve as unit spokesperson to convey unit policies, procedures, information needs and problems, relative to records management to the department records officer or, when appropriate, the State Records Center personnel.
  4. Write or assist colleagues in writing records retention/disposition authorizations (RDAs).
  5. Answer records management inquiries from staff.
  6. Coordinate and log the disposition of inactive records to storage at the State Records Center, the State Historical Society, or for microfilming of records, as needed.
  7. Maintain the records manual provided by the department records officer.
  8. Coordinate and log disposition of records.
  9. Ensure records retention/disposition schedules are current and adhered to.
  10. Receive and evaluate records-related requests, suggestions and complaints from unit staff. Submit appropriate requests, with recommendations, to the department records officer.

VI. Authorities

Sections 15.04, 16.61, and 19.33, Wis. Stats.

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Subject: STANDARDS FOR CREATING THE LIFE CYCLE OF A RECORDS SERIES,  
INCLUDING ITS DISPOSITION.

I. Legal Authority

The Division of Administrative Services, Bureau of Management Services, has the responsibility for the Records Management Program in the Department of Administration (DOA).

Sections 15.04, 16.61, 19.21 and 19.33, Wis. Stats.  
DOA Supervisor's Manual, Number: "Records Management 002A"

II. Purpose

The following procedure has been established to create a standard to identify records series. This procedure is to effectively schedule records retentions and to ensure the proper disposition of unneeded records.

III. Standard

A records retention/disposition authorization (RDA) should be created within a (1) year of the creation of any record—*regardless of where records are stored*. RDAs are required for all records series, whether the records are retained permanently or disposed of after a period of time—per section 16.61 (4)(b), Wis. Stats.

Records can *only* be disposed of via an RDA, which documents approval from: the DOA records users; the DOA records officer; DOA's legal counsel, as needed; and the Governor's Public Records Board.

IV. Definitions

A. Public records: All papers, maps, photographs, films, recordings, or other documentary materials or any copy thereof (regardless of physical form or characteristics), made or received by any agency of the state or its officers or employees, in connection with the transaction of public business, and retained by that agency or its successor, as evidence of its activities or functions, because of the information contained therein.

B. Records series: Any record or group of records filed together for the same purpose.

- C. Retention schedule: Instructions as to the length of time, the location, and the form in which records series are to be kept and the method of filing them.
- D. RDA: Records retention/disposition authorization or Retention/Disposition Authorization.
- E. Nonrecords: Including, but not limited to: *copies* of manuals, brochures, correspondence, and documents; library and museum material for reference; quasi-official notices, such as announcements and invitations; preliminary drafts/worksheets which are not a significant record; route slips; personal property; and blank forms or office supplies.

V. Determining components of a records series and creating an RDA

Forms required:

- PRB-001 (R03/99) Records Retention/Disposition Authorization
- DOA-3062 (R04/93) State Records Center Transmittal Order (2 ply)
- Draft—analysis worksheet (appendix C), Records Inventory, Analysis, and Scheduling

VI. Description of the records series

- A. The user is to gather a sample of the public records series (reports, forms, correspondence, etc.). A sample should be documents of related information that will be retained for the same time period.
- B. The users are to contact their records coordinator (see coordinators list).
- C. The user and/or the records coordinator is to complete an analysis worksheet form (The form is found in Appendix C of the State of Wisconsin Records Inventory, Analysis and Scheduling manual from the State Records Center). This form requires a description, a purpose/function statement, and a retention period of the records. Request the help of the records officer, if necessary.
- D. Forward the form along with samples of the records series to: DOA Records Officer, DOAS/BMS, 9th floor, Administration Building, Inter-D.

VII. Analysis

- A. Upon receipt of the worksheet and samples from the records coordinator, the records officer is to consult other department and/or division staff, where necessary to maximize input, regarding duplication or differences of opinion when analyzing the information.
- B. The records officer will study and evaluate materials received from the user and negotiate any differences of opinion regarding retention, etc.

VIII. Approval

- A. Upon approving the draft materials, the records officer returns the materials to the records coordinator who types the RDA form #PRB-001 (01/94), procures the signature of the program manager, and forwards the RDA to the DOA records officer.
- B. The records officer proofs the RDA, signs it when approved, and forwards it to the DOA legal counsel, if necessary, for feedback.
- C. Once approved by the DOA legal counsel, the RDA is forwarded to the executive secretary of the Public Records Board (PRB) for the board's approval.
- D. Once approved by the PRB, it is signed by the executive secretary and returned to the DOA records officer, who keeps the original and forwards a copy to the records coordinator. (If approval is denied, see "Public Records Board" below.)

IX. Legal counsel

- A. When necessary, legal counsel is involved to approve or disapprove the retention schedule (RDA) by standard legal requirements.
- B. Returns the RDA to the DOA records officer with notification of approval/disapproval signing the RDA or indicating why the RDA is not signed.

X. Public Records Board

- A. The records officer submits the RDA to the PRB two (2) weeks prior to each quarterly board meeting - for approval.
- B. If not approved by the board, the RDA is returned to the DOA records officers for necessary changes.

- C. After approval, the RDA is returned to the DOA records officer who forwards a copy to the originating unit, keeping the original for management purposes.

XI. Authorization to dispose of records

- A. Upon creation and approval of an RDA, authorization exists for the proper retention/disposition of public records. Retention or disposition includes: storage of active records in the records users area, storage of inactive records in any medium at the State Records Center or State Historical Society, or destruction of unnecessary records.

Each unit should document how many records were disposed and by which means of disposal.

- B. The unit must also document why inactive records were not disposed of properly, documenting the amount of the records.

Acceptable reasons for not disposing of records include - but are not limited to:

- a pending litigation, audit, or open records request
- lack of any or current RDAs

XII. Methods of destroying records

- A. Shred or burn **confidential** records at current location, if possible.
- B. Recycle nonconfidential records.
- C. Send the **confidential** records to the State Records Center using the approved transmittal order #DOA-3062 (R04/93) for shredding or burning of the records, for a fee.

XIII. DOA Records Officer (responsibilities in addition to those in Rec. Mgmt #002A)

- A. Maintains a register indicating status of all RDAs.
- B. Works with records coordinators and the State Records Center on all matters of records management.
- C. Keeps a calendar of PRB meeting dates and alerts records coordinators to future meetings.